LPPortal

User Guide

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1 Introduction

1.1 Version

0.1 [January 2010]

1.2 Purpose

This document provides user documentation for LPPortal.

1.3 Definitions

Subscribed Product

A 'Subscribed Product' is an offering to which you have elected to subscribe.

Subscription Manager

The 'Subscription Manager' is the person selected by your firm to administrate your firm's access to LPPortal.

Authorised User

An 'Authorised User' is a person who has been granted access to a firm's information by their Subscription Manager.

Subscriber

A 'Subscriber' is a person who has access to LPPortal in their own right (e.g. a legal practitioner) so they can access their personal regulatory information.

1.4 Scope

This user documentation provides the following information:

1. How to sign in to LPPortal.
2. How to register for access to LPPortal.
3. How to manage your password (change password and reset password).
4. The functions of a 'Subscription Manager'.
5. The functions of a 'Subscriber'.
6. Subscribed Products, including:
    a. Self Assessment Form.
    b. Annual Survey.

c. Generic Web Forms (e.g. Statistics, Risk Data, etc).

7. It also covers some housekeeping information, including:

a. Activity Displays and Audit Logs.

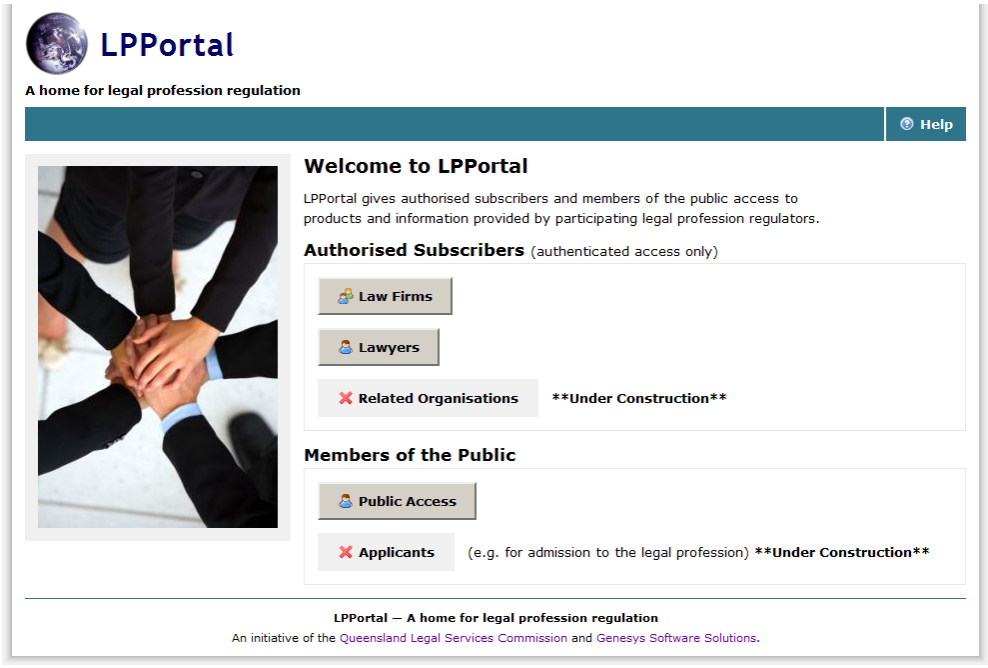
1.5 Abbreviations

Abbreviation	**Description**
LPPortal	The Legal Profession Portal
CMS	Case Management System (Contact)
LSC	Legal Services Commission – Queensland
QLS	Queensland Law Society
BAQ	Bar Association of Queensland

2 The Sign In & Registration Processes

2.1 Signing In To LPPortal

LPPortal is a multi-jurisdictional regulatory portal developed to assist with the delivery of legal services and the regulation of the legal profession in Queensland. To sign in to LPPortal you must select the access type that is applicable to you, as shown in *Figure 1*.


LPPortal
A home for legal profession regulation
Help
Welcome to LPPortal
LPPortal gives authorised subscribers and members of the public access to products and information provided by participating legal profession regulators.
Authorised Subscribers (authenticated access only)
Law Firms
Lawyers
Related Organisations
Under Construction
Members of the Public
Public Access
Applicants
(e.g. for admission to the legal profession) **Under Construction**
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An initiative of the Queensland Legal Services Commission and Genesys Software Solutions.

Figure 1 – Landing

Note: You may have access via multiple access types (i.e. most solicitors could have both firm and personal access). In this case, you should select the appropriate access type for the tasks you want perform. For example, choose *Law Firms* for access on behalf of your firm or *Lawyers* for personal access.

Note: Access types marked with a red cross are either *Under Construction* or *Under Maintenance* – i.e. they are currently unavailable for public use.

Once you have selected your access type, you will be presented with the sign in page, as shown in *Figure 2*.

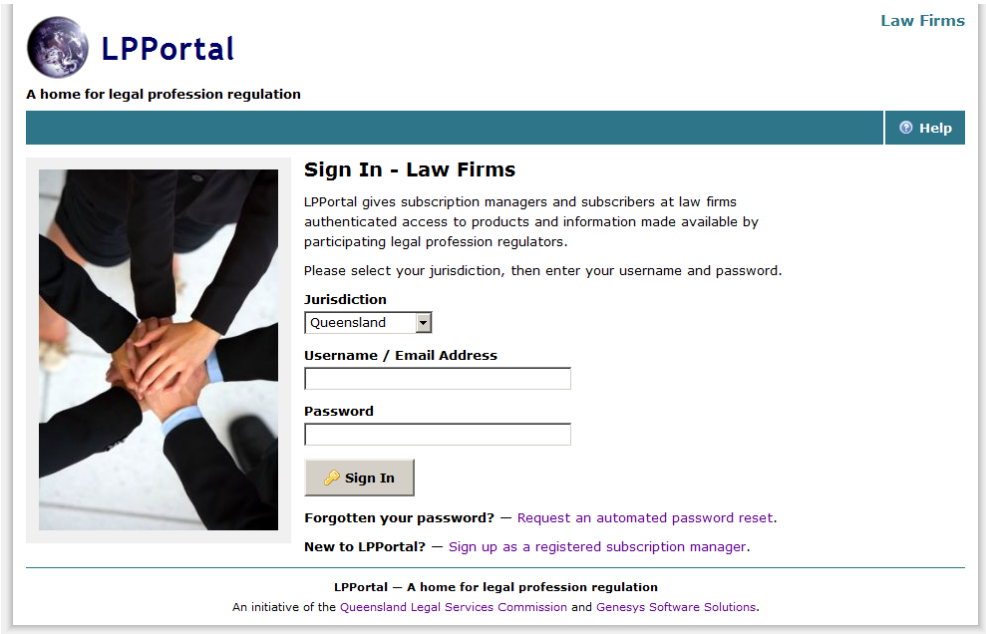
Law Firms
LPPortal
A home for legal profession regulation
Help
Sign In - Law Firms
LPPortal gives subscription managers and subscribers at law firms authenticated access to products and information made available by participating legal profession regulators.
Please select your jurisdiction, then enter your username and password.
Jurisdiction
Queensland
Username / Email Address
Password
Sign In
Forgotten your password? — Request an automated password reset.
New to LPPortal? — Sign up as a registered subscription manager.
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Figure 2 – Sign In

Here you must select you *jurisdiction*, enter your *username* and *password* and then click 'Sign In' to sign in to LPPortal.

If you have correctly entered your sign in details you will be presented with the LPPortal homepage, as shown in *Figure 3*.

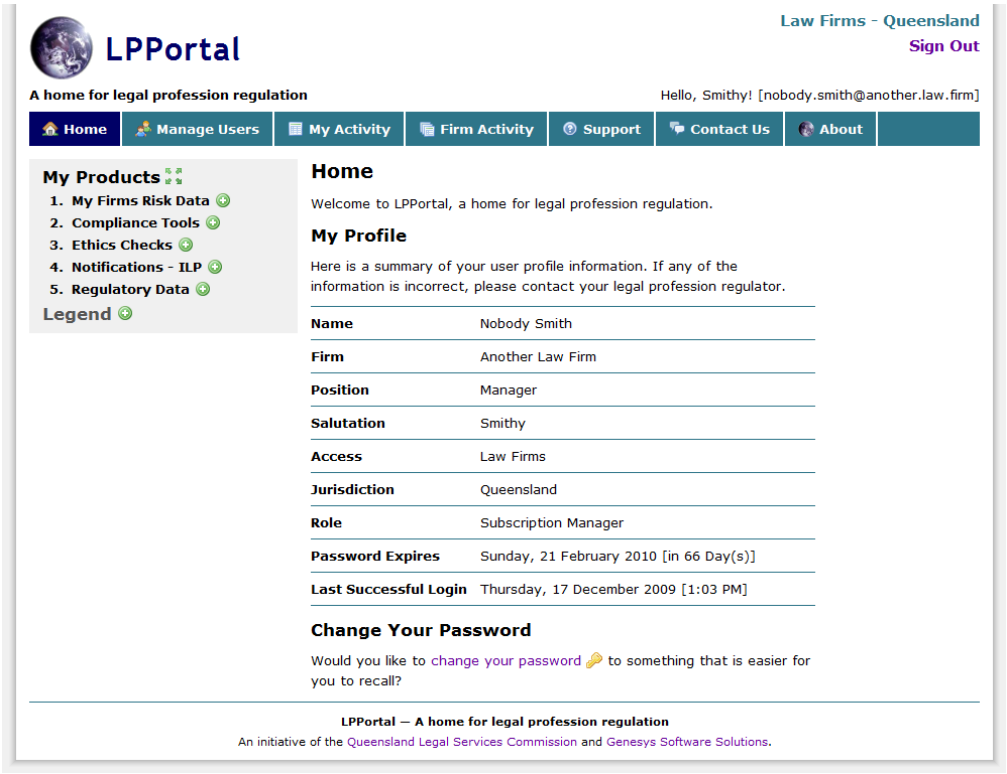
LPPortal
Law Firms - Queensland
Sign Out
A home for legal profession regulation
Hello, Smithy! [nobody.smith@another.law.firm]
Home
Manage Users
My Activity
Firm Activity
Support
Contact Us
About
My Products
1. My Firms Risk Data
2. Compliance Tools
3. Ethics Checks
4. Notifications - ILP
5. Regulatory Data
Legend
Home
Welcome to LPPortal, a home for legal profession regulation.
My Profile
Here is a summary of your user profile information. If any of the information is incorrect, please contact your legal profession regulator.
Name Nobody Smith
Firm Another Law Firm
Position Manager
Salutation Smithy
Access Law Firms
Jurisdiction Queensland
Role Subscription Manager
Password Expires Sunday, 21 February 2010 [in 66 Day(s)]
Last Successful Login Thursday, 17 December 2009 [1:03 PM]
Change Your Password
Would you like to change your password to something that is easier for you to recall?
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Figure 3 – Home

2.2 New Subscription Manager

Each firm can select a representative (or a generic email account if they prefer) from their firm, to be their *Subscription Manager*.

A *Subscription Manager* has the responsibility for administering all LPPortal functions regarding their firm. They are also responsible for creating and monitoring all other LPPortal user accounts at their firm. These user accounts are known as *Authorised Users*.

Some restrictions...

1. Choose your *Subscription Manager* wisely, as (currently) changing *Subscription Manager* will require you to contact the regulator in your jurisdiction.

2. You will not be able to automatically sign up as your firm's *Subscription Manager* if:

    a. Your regulator does not have your firm's email address domain on file in their regulatory database.

    b. Your email domain address is not unique to your firm (e.g. you use a @hotmail.com email address, etc).

    c. Someone else from your firm is already signed up as a *Subscription Manager*.

    Note: In this case you should contact your regulator to gain access.

You can sign up to LPPortal as a new Subscription Manager as follows...

1. Open your web browser to LPPortal (https://www.lpportal.org.au).

2. Select one of the access types (e.g. *Law Firms*) with the firm icon ( ).

3. On the sign in page, click the link 'Sign up as a registered subscription manager'.

4. You will then be presented with the screen the screen shown in *Figure 4*.

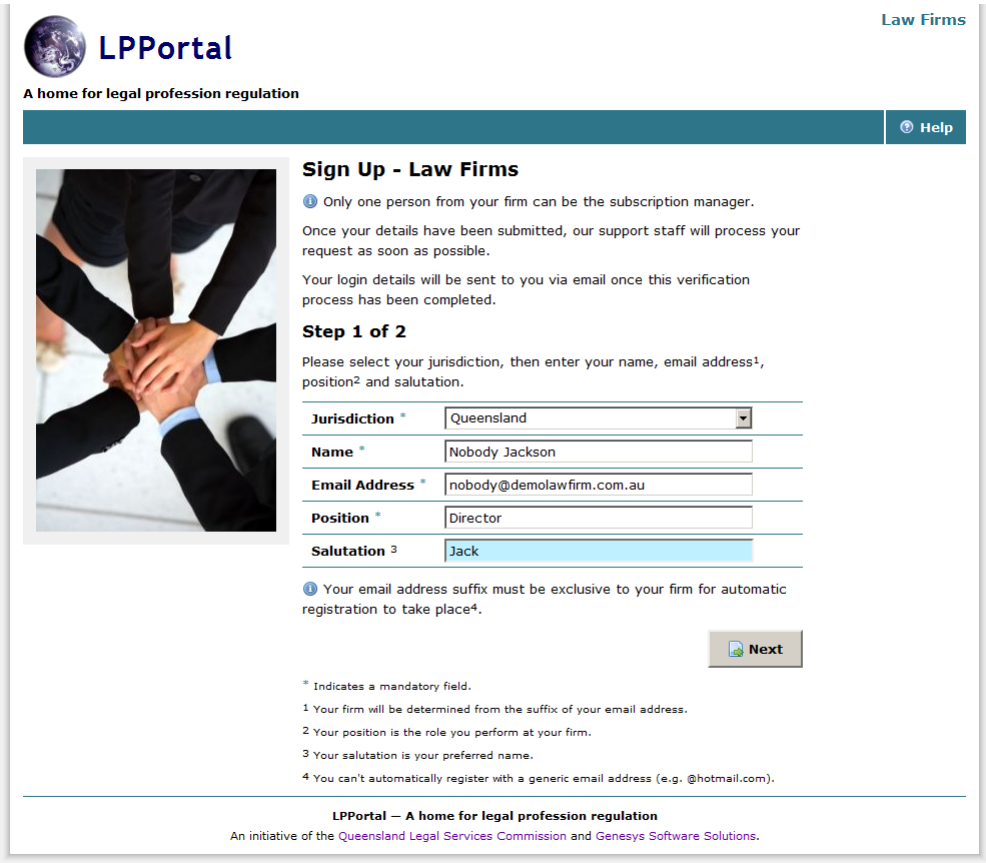
Law Firms
LPPortal
A home for legal profession regulation
Help
Sign Up - Law Firms
Only one person from your firm can be the subscription manager.
Once your details have been submitted, our support staff will process your request as soon as possible.
Your login details will be sent to you via email once this verification process has been completed.
Step 1 of 2
Please select your jurisdiction, then enter your name, email address[1], position[2] and salutation.
Jurisdiction *
Queensland
Name *
Nobody Jackson
Email Address *
nobody@demolawfirm.com.au
Position *
Director
Salutation [3]
Jack
Your email address suffix must be exclusive to your firm for automatic registration to take place[4].
Next
* Indicates a mandatory field.
1 Your firm will be determined from the suffix of your email address.
2 Your position is the role you perform at your firm.
3 Your salutation is your preferred name.
4 You can't automatically register with a generic email address (e.g. @hotmail.com).
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Figure 4 – Sign Up [1 of 2]

5. You must now enter the following information:
    a. *Jurisdiction* – Your regulatory jurisdiction (e.g. Queensland).
    b. *Name* – Your name (e.g. Nobody Smith).
    c. *Email Address* (e.g. nobody@demolawfirm.com.au).
    d. *Position* – The position you hold at your firm (e.g. Manager).
    e. *Salutation* – Your preferred name.
6. Once you have entered your information, click 'Next'.
7. You will then be presented with the product selection screen, as shown in *Figure 5*.

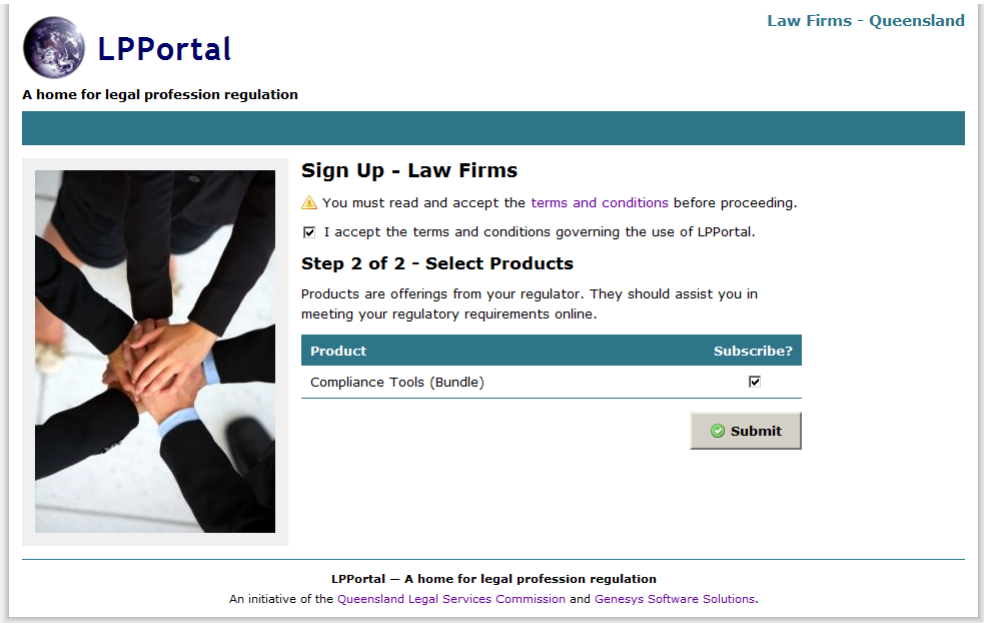
Law Firms - Queensland
LPPortal
A home for legal profession regulation
Sign Up - Law Firms
You must read and accept the terms and conditions before proceeding.
I accept the terms and conditions governing the use of LPPortal.
Step 2 of 2 - Select Products
Products are offerings from your regulator. They should assist you in meeting your regulatory requirements online.
Product
Subscribe?
Compliance Tools (Bundle)
Submit
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Figure 5 – Select Products [2 of 2]

8. You must now read and accept the *Terms and Conditions* governing the use of LPPortal and then select the products that you wish to subscribe to.

   Note: If you are unsure which products to subscribe to, then please subscribe to all products or contact your regulator for more information.

9. Once you are satisfied with your product selections – click 'Submit' to create your new *Subscription Manager* account.

10. You will then be redirected to the sign in page. Please check your email to obtain your password. You will receive an email similar to the one depicted in *Figure 6*.

Figure 6 – New Subscription Manager Email

11. You can now use your *username* and *password* to login into LPPortal by following the directions outlined in *Section 2.1*.

2.3 *New Authorised User [Subscription Managers Only]*

Note: New *Authorised Users* are created by a firm's *Subscription Manager*.

Authorised Users are users which have been granted access to a firm's information by the firm's *Subscription Manager*.

A *Subscription Manager* can create new *Authorised Users* as follows:

1. Sign in to LPPortal as described in *Section 2.1*.
2. Select 'Manager Users' from the top navigation / menu bar.
3. You will be presented with the *Manager Users* page, shown in *Figure 7*.

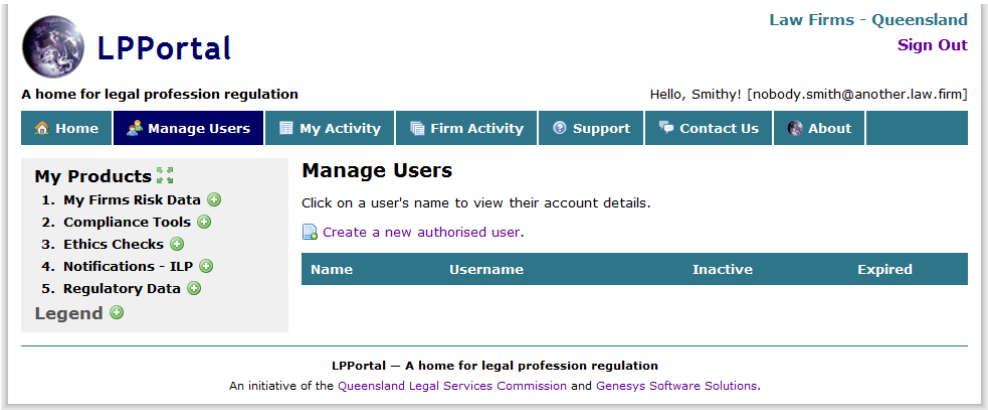

Figure 7 – Manage Users

4. Click on the link 'Create a new authorised user'.
5. You will be presented with the *New Authorised User* page, shown in *Figure 8*.

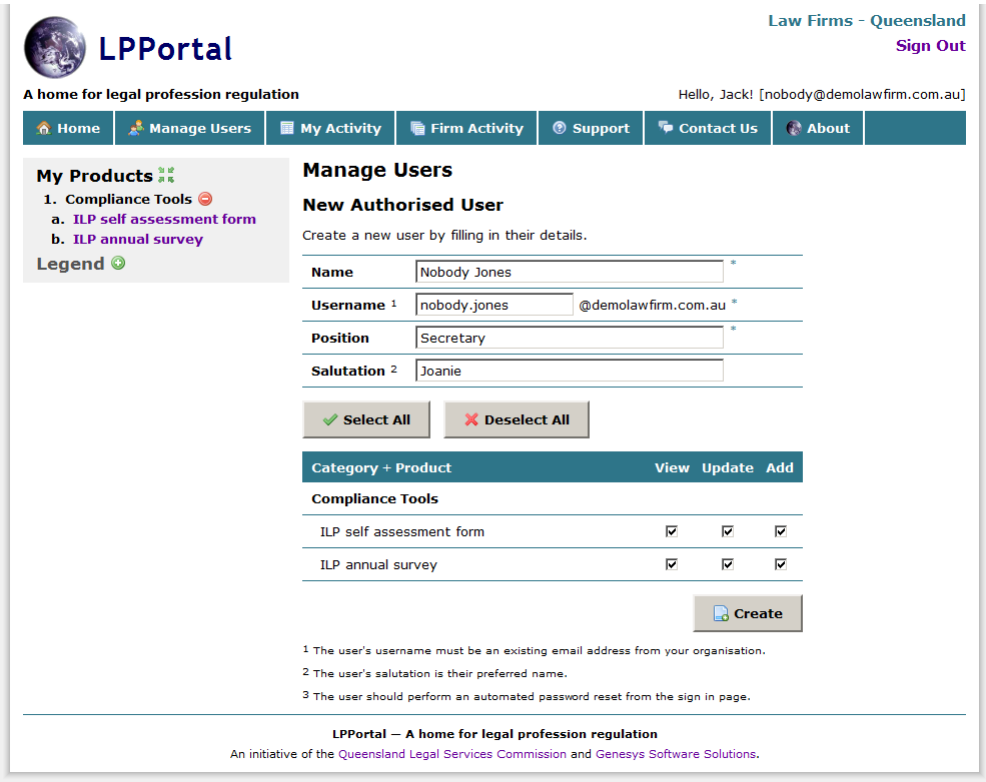

Figure 8 – New Authorised User

6. You must now enter the following information:

    a. *Name* – The user's name (e.g. Nobody Jones).

    b. *Username* – The prefix of the user's email address (e.g. nobody.jones).

    Note: The email address must be an email address at your firm.

    c. *Position* – The position the user hold's at your firm (e.g. Secretary).

    d. *Salutation* – The user's preferred name.

    e. *Category + Product* – Select *Products* from the available *Categories* to give the *Authorised User* access to those products. You should also specify the access rights for the authorised user to the selected products.

    Note: Access rights allow you to provide your *Authorised Users* with either 'no access', 'view access', 'update access' or 'add access' depending on what access you wish to allow them to have to each product.

7. Once you have completed the product selection – click 'Create' to create the new *Authorised User* account. The *Authorised User* will be emailed their account details (including their generated password) immediately. The user will receive an email similar to the one depicted in *Figure 9*.

LPPortal – New Subscription Request

LPPortal FM Support Services [support@lpportal.com.au]
Sent: None
To: subscriptions@lpportal.com.au

The following subscription request was submitted on 17/12/2009 at 3:32 PM.

Subscription Manager

Access: Law Firms
Jurisdiction: Queensland
Email: nobody@demolawfirm.com.au
Name: Nobody Jackson
Firm: Demo Law Firm
Position: Director
Salutation: Jack

Requested Products

Compliance Tools (Bundle)

Regards

LPPortal Notification Services

Figure 9 – Figure 6 – New Authorised User Email

2.4 *New Subscriber*

A legal practitioner who has an active practitioner record in your regulator's database can choose to automatically sign up as a *Subscriber* to LPPortal.

Some Restrictions...

1. This is your personal account. You are required to use the same email address you have already provided to your regulator. If you change your employer and therefore change your email address, you will need to contact your regulator to update your subscription profile, so as to maintain uninterrupted access to LPPortal.

2. You will not be able to automatically sign up as a *Subscriber* if:

    a. Your regulator does not have on file the email address that you wish to use to automatically sign up with.

    b. The email address that you have on file with the regulator is associated with multiple individuals (i.e. not unique).

    Note: In this case you should contact your regulator to gain access.

You can sign up to LPPortal as a new Subscriber as follows...

1. Open your web browser to LPPortal (https://www.lpportal.org.au).

2. Select one of the access types (e.g. *Lawyers*) with the person icon ( ).

3. On the sign in page, click the link 'Sign up as a subscriber'.

4. You will then be presented with the screen shown in *Figure 10*.

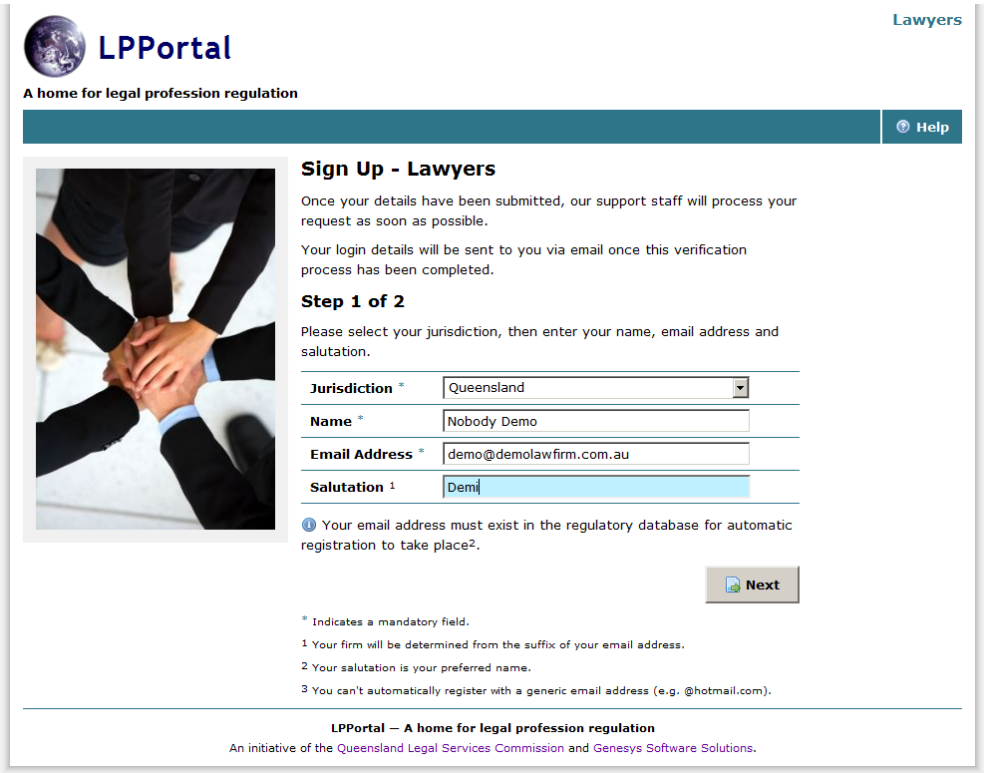
Lawyers
LPPortal
A home for legal profession regulation
Help
Sign Up - Lawyers
Once your details have been submitted, our support staff will process your request as soon as possible.
Your login details will be sent to you via email once this verification process has been completed.
Step 1 of 2
Please select your jurisdiction, then enter your name, email address and salutation.
Jurisdiction *
Queensland
Name *
Nobody Demo
Email Address *
demo@demolawfirm.com.au
Salutation 1
Demi
Your email address must exist in the regulatory database for automatic registration to take place2.
Next
* Indicates a mandatory field.
1 Your firm will be determined from the suffix of your email address.
2 Your salutation is your preferred name.
3 You can't automatically register with a generic email address (e.g. @hotmail.com).
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Figure 10 – Sign Up [1 of 2]

5. You must now enter the following information:

    a. *Jurisdiction* – Your regulatory jurisdiction.

    b. *Name* – Your name.

    c. *Email Address*.

    d. *Salutation* – Your preferred name.

6. Once you have entered your information, click 'Next'.

7. You will then be presented with the product selection screen, as shown in *Figure 11*.

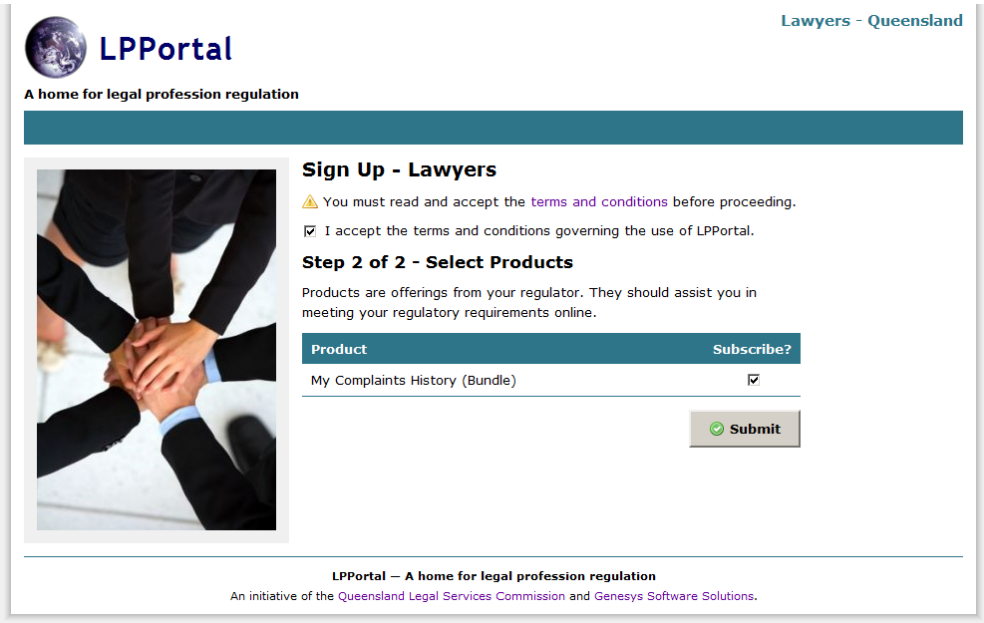
LPPortal
Lawyers - Queensland
A home for legal profession regulation
Sign Up - Lawyers
You must read and accept the terms and conditions before proceeding.
I accept the terms and conditions governing the use of LPPortal.
Step 2 of 2 - Select Products
Products are offerings from your regulator. They should assist you in meeting your regulatory requirements online.
Product
Subscribe?
My Complaints History (Bundle)
Submit
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Figure 11 – Select Products [2 of 2]

8. You must now read and accept the *Terms and Conditions* governing the use of LPPortal, and you can select the products that you wish to subscribe to.

   Note: If you are unsure as to which products to subscribe to then please subscribe to all products or contact your regulator for more information.

9. Once you are satisfied with your product selections, click 'Submit' to create your new *Subscriber* account.

10. You will then be redirected to the sign in page. Please check your email to obtain your password. You will receive an email similar to the one depicted in *Figure 12*.

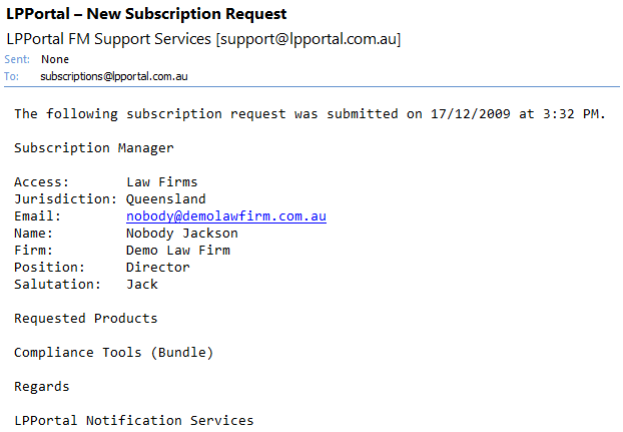

Figure 10 – New Subscriber Email

11. You can now use your *username* and *password* to login in to LPPortal by following the directions outlined in *Section 2.1*.

2.5 Request an Automated Password Request

Note: You can request an *Automated Password Reset* at any time.

You may wish to reset your password for one of the following reasons:

1. You have forgotten your password.
2. Your password has expired (applicable to firms only).

   Note: For security reasons, the passwords for all firm-based accounts expire (and thus have to be reset by the user) every 90 days. This is to minimise the risk of users who have left a firm continuing to gain access to that firm's portal information.

You can automatically reset your password as follows...

1. Open your web browser to LPPortal (https://www.lpportal.org.au).
2. Select one of the access types (e.g. *Lawyers* or *Law Firms*).
3. On the sign in page, click the link 'Request an automated password reset'.
4. You will then be presented with the screen the screen shown in *Figure 13.*

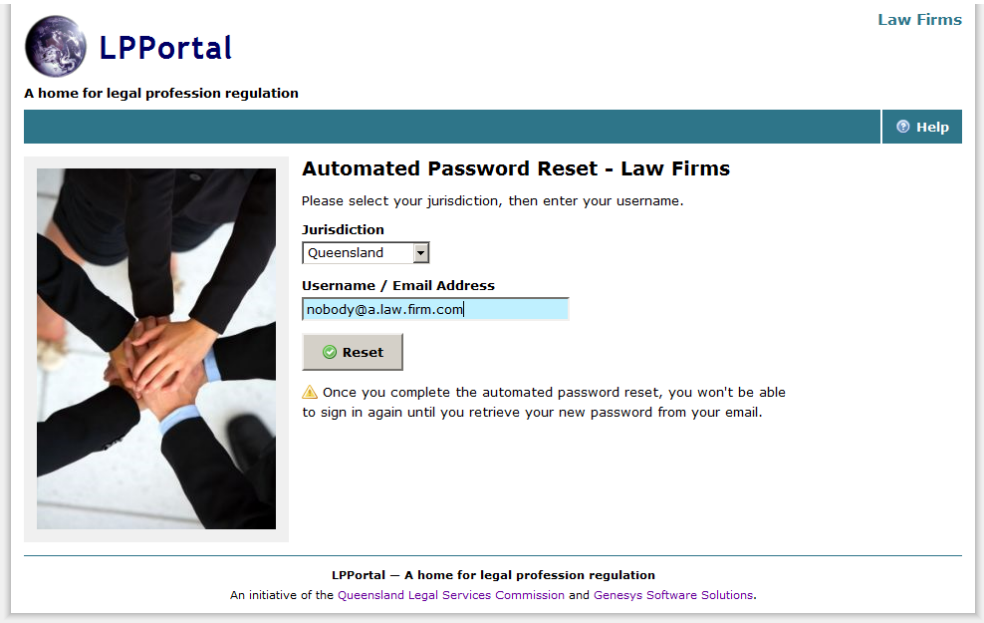
Law Firms
LPPortal
A home for legal profession regulation
Help
Automated Password Reset - Law Firms
Please select your jurisdiction, then enter your username.
Jurisdiction
Queensland
Username / Email Address
nobody@a.law.firm.com
Reset
Once you complete the automated password reset, you won't be able to sign in again until you retrieve your new password from your email.
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Figure 13 – Automated Password Reset

5. You now enter your *Email Address* and click 'Reset' to reset you password.
6. You will then be redirected to the sign in page – please check your email to obtain your password.

2.6 *Change Your Password*

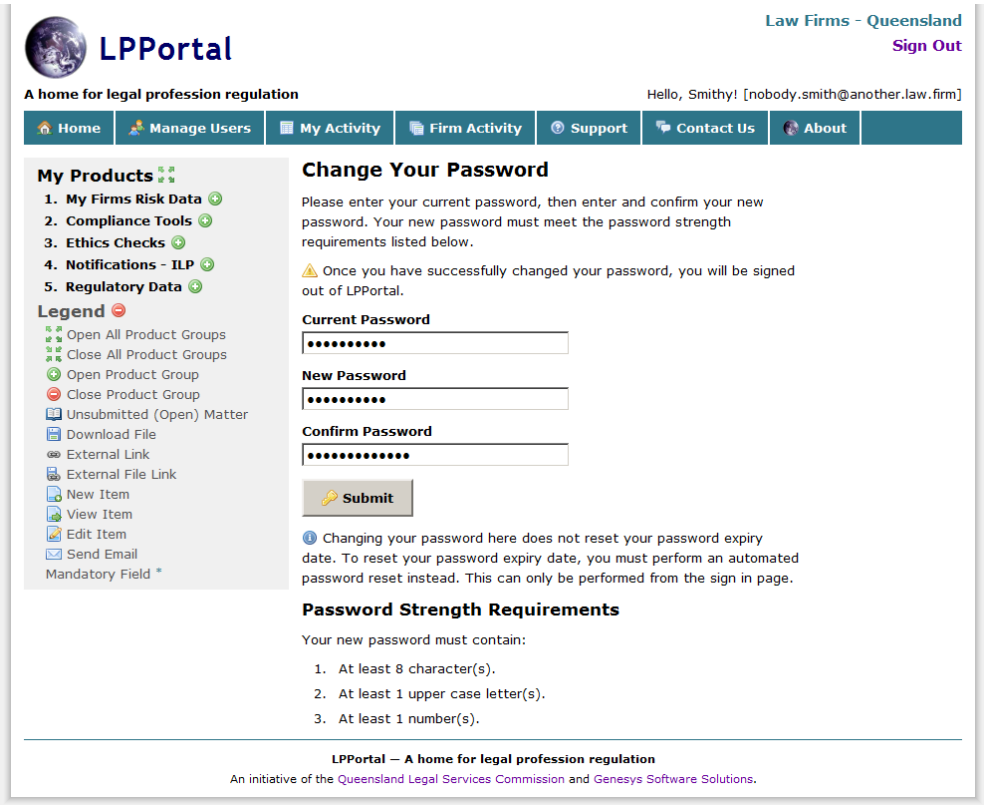
You can change your password at any time. This password will replace the randomly generated password originally provided by LPPortal. We recommend changing your password to something that is easier for you to remember!

Note: The passwords for some user accounts (e.g. *Law Firms*) expire every 90 days (as explained in *Section 2.5*). Changing your password here will not reset your password expiry date. To reset your password expiry date, please follow the process outlined in *Section 2.5*.

Note: Once you have successfully changed your password, you will be signed out of LPPortal.

You can change your password as follows...

1. Sign in to LPPortal via the process outline in *Section 2.1*.
2. On the LPPortal home page, click on the '*change your password*' link on the bottom of the page.
3. You will then be presented with the screen the screen shown in *Figure 14*.


LPPortal
Law Firms - Queensland
Sign Out
A home for legal profession regulation
Hello, Smithy! [nobody.smith@another.law.firm]
Home
Manage Users
My Activity
Firm Activity
Support
Contact Us
About
My Products
1. My Firms Risk Data
2. Compliance Tools
3. Ethics Checks
4. Notifications - ILP
5. Regulatory Data
Legend
Open All Product Groups
Close All Product Groups
Open Product Group
Close Product Group
Unsubmitted (Open) Matter
Download File
External Link
External File Link
New Item
View Item
Edit Item
Send Email
Mandatory Field *
Change Your Password
Please enter your current password, then enter and confirm your new password. Your new password must meet the password strength requirements listed below.
Once you have successfully changed your password, you will be signed out of LPPortal.
Current Password
New Password
Confirm Password
Submit
Changing your password here does not reset your password expiry date. To reset your password expiry date, you must perform an automated password reset instead. This can only be performed from the sign in page.
Password Strength Requirements
Your new password must contain:
1. At least 8 character(s).
2. At least 1 upper case letter(s).
3. At least 1 number(s).
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An initiative of the Queensland Legal Services Commission and Genesys Software Solutions.

Figure 14 – Change Your Password

4. You must now enter the following information:
    a. *Current Password* – your password as it currently stands.

b. *New Password* – your new password.

c. *Confirm Password* – please confirm your new password.

5. Once you are satisfied with your new password, click 'Submit' to change your password. You will be signed out of LPPortal. Sign in with your new password to continue working.

3 Manage Users [Subscription Managers Only]

The *Manage Users* functions allow the *Subscription Manager* to manage their own *Authorised Users* (users who have been granted access to a firm's information by the *Subscription Manager*).

The *Manage Users* functions are available from the top navigation menu and are available to *Subscription Managers* only. This function allows the *Subscription Manager* to:

1. Create new *Authorised Users* – see *Section 2.3*.
2. View a full list of *Authorised Users,* including their status (inactive / expired).
3. View a detailed profile of each *Authorised User,* including their access levels to each product.
4. Edit an existing *Authorised User's* details, including making that user inactive.

3.1 List of Authorised Users

LPPortal provides the *Subscription Manager* with a current list of their *Authorised Users.* This list can be used to keep track of who has access to your firm's information. An example list of *Authorised Users* is shown in *Figure 15*.

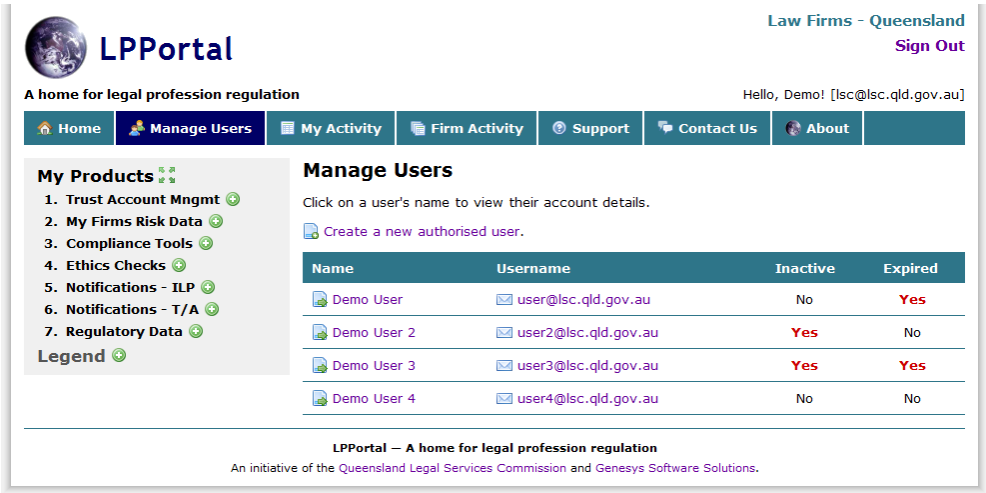


Figure 15 – List of Authorised Users

Inactive

Inactive user accounts cannot sign in to LPPortal. For example, an *Authorised User* should be made inactive when that person is no longer employed by your firm.

Expired

An expired user account cannot sign in to LPPortal. An expired user can reset their password via the process in *Section 2.5*.

3.2 *Authorised User Details*

You can click on a user's name to drill down and view their details. The following details are provided:

1. Name – The user's name in full.
2. Username – The user's email address at your firm.
3. Position – The user's job / role at your firm (e.g. Secretary, Partner, etc).
4. Salutation – The user's preferred name (e.g. James but prefers Jim).
5. Inactive (Status) – The user's account is disabled.
6. Expired (Status) – The user's password has expired.
7. Categories + Products + Access Levels – The user's products and the access levels you have given that user to those products.

An example of the *Authorised User* details screen is shown in *Figure 16*.

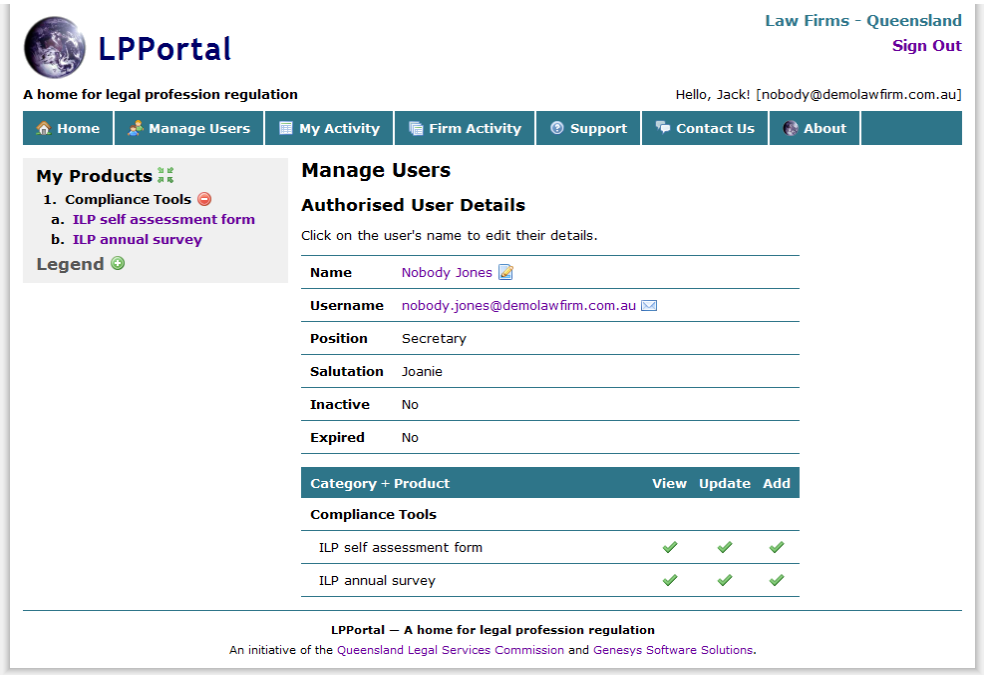


Figure 16 – Authorised User Details

3.3 *Edit Authorised User Details*

Once you are viewing the details of an *Authorised User*, you can click on their name to edit their details. This will allow you to edit all the details listed above – except for the password expiry, which must be reset by the users themselves.

An example of the *Edit Authorised User* screen is shown in *Figure 17*.

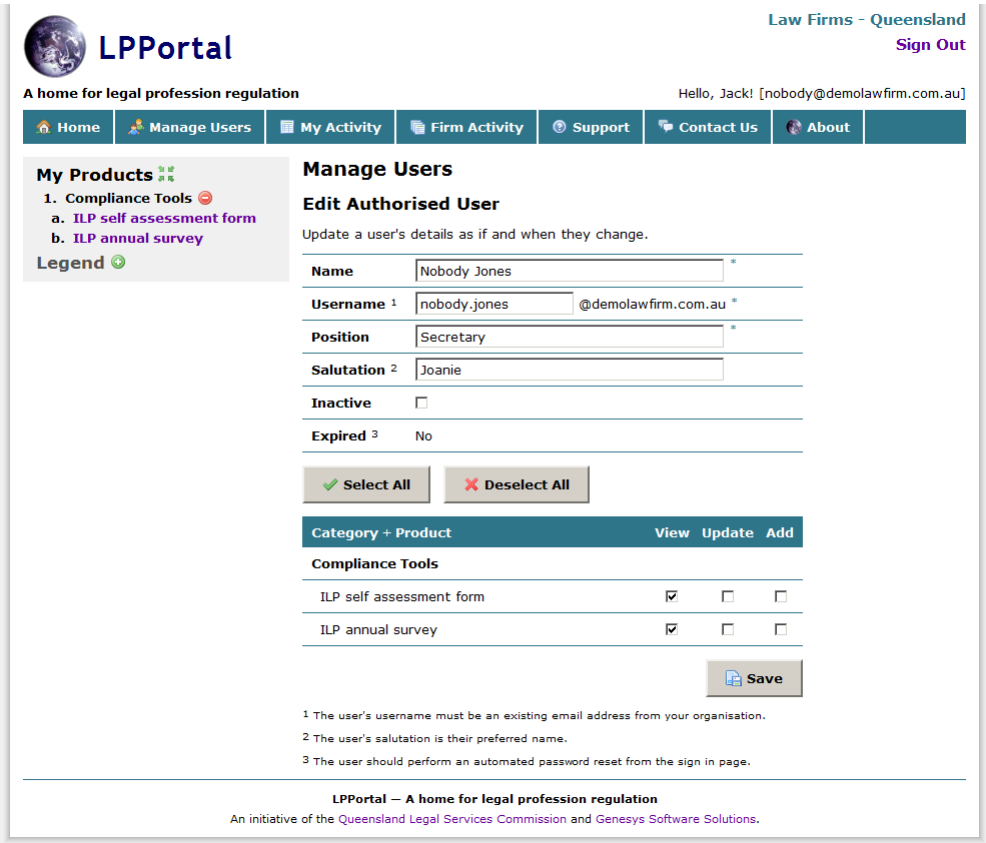


Figure 17 – Edit Authorised User

4 Activity

The activity function allows a user to keep track of user access to the Self Assessment Form and Annual Survey products on their account. This is so that any modifications (including unauthorised modifications) to a user's data can be tracked by the user.

4.1 My Activity [Subscription Managers & Authorised Users Only]

The *My Activity* page allows the user to view a history of their activity on LPPortal.

Note: Activity is only tracked for products where changes can be made to data (i.e. activity is not recorded for read-only products).

An example of the *My Activity* page is shown in *Figure 18*.

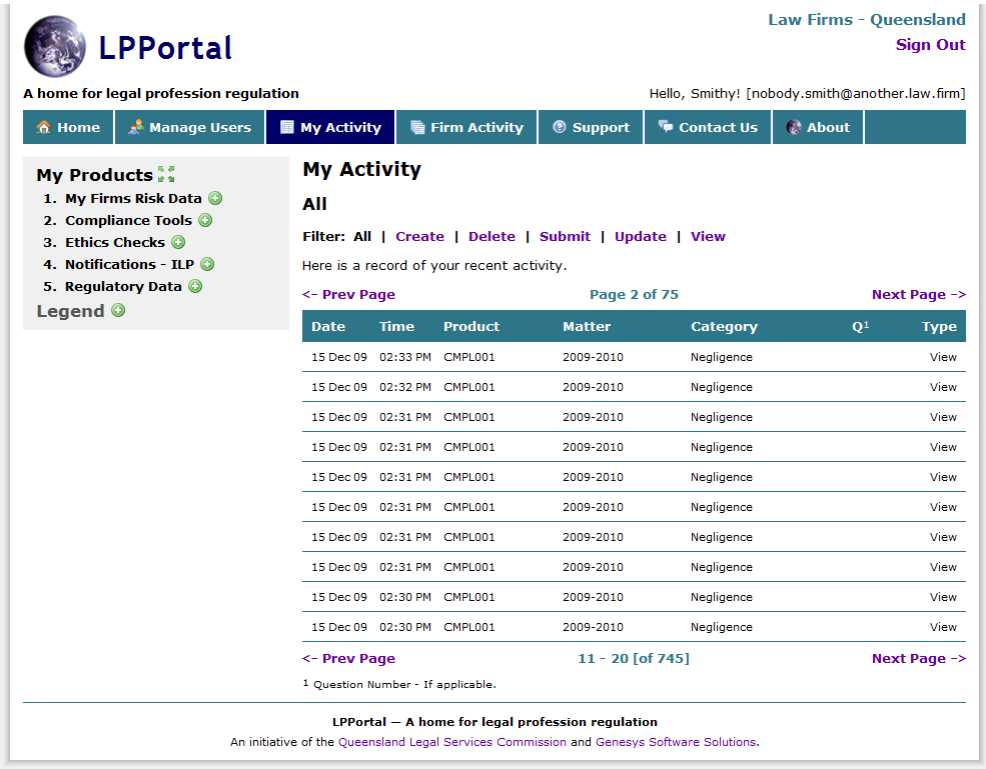

LPPortal
Law Firms - Queensland
Sign Out
A home for legal profession regulation
Hello, Smithy! [nobody.smith@another.law.firm]
Home
Manage Users
My Activity
Firm Activity
Support
Contact Us
About
My Products
1. My Firms Risk Data
2. Compliance Tools
3. Ethics Checks
4. Notifications - ILP
5. Regulatory Data
Legend
My Activity
All
Filter: All | Create | Delete | Submit | Update | View
Here is a record of your recent activity.
<- Prev Page
Page 2 of 75
Next Page ->
Date Time Product Matter Category Q1 Type
15 Dec 09 02:33 PM CMPL001 2009-2010 Negligence View
15 Dec 09 02:32 PM CMPL001 2009-2010 Negligence View
15 Dec 09 02:31 PM CMPL001 2009-2010 Negligence View
15 Dec 09 02:31 PM CMPL001 2009-2010 Negligence View
15 Dec 09 02:31 PM CMPL001 2009-2010 Negligence View
15 Dec 09 02:31 PM CMPL001 2009-2010 Negligence View
15 Dec 09 02:31 PM CMPL001 2009-2010 Negligence View
15 Dec 09 02:31 PM CMPL001 2009-2010 Negligence View
15 Dec 09 02:30 PM CMPL001 2009-2010 Negligence View
15 Dec 09 02:30 PM CMPL001 2009-2010 Negligence View
<- Prev Page
11 - 20 [of 745]
Next Page ->
1 Question Number - If applicable.
LPPortal — A home for legal profession regulation
An initiative of the Queensland Legal Services Commission and Genesys Software Solutions.

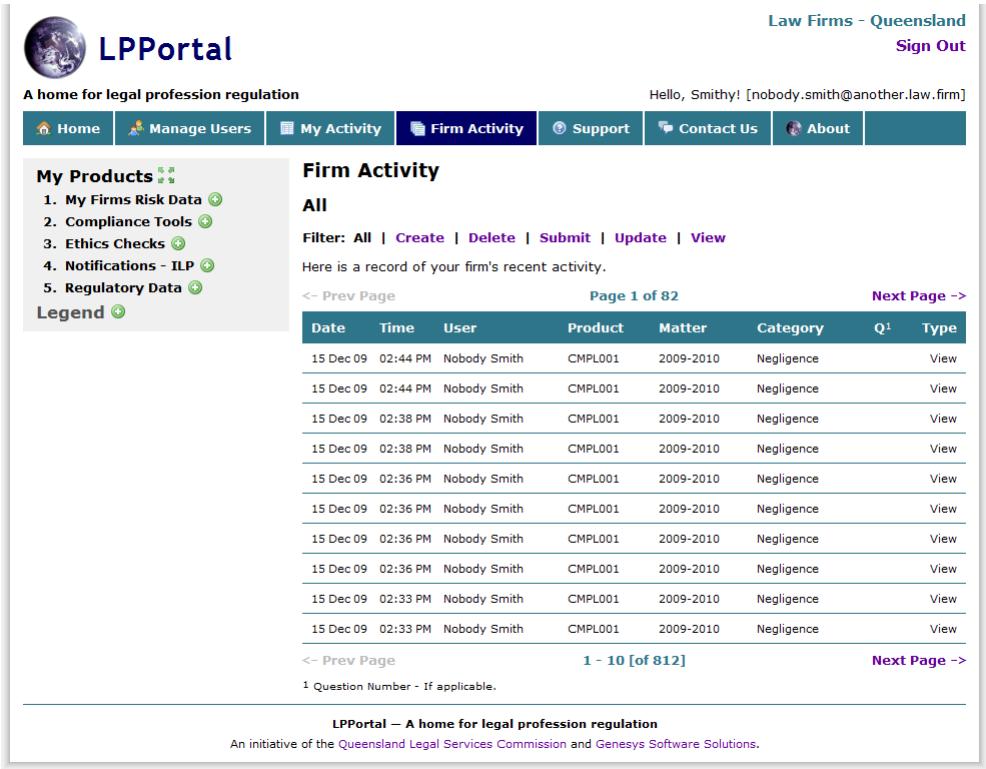
Figure 18 – My Activity

4.2 Firm Activity [Subscription Managers Only]

Subscription Managers can also track their *Authorised User's* activity. The *Firm Activity* page combines the activity records of all *Authorised Users* into a single tabular view so that *Subscription Managers* can keep track of their user's activity.

Note: Activity is only tracked for products where changes can be made to data (i.e. activity is not recorded for read-only products).

An example of the *Firm Activity* page is shown in *Figure 19*.


LPPortal
Law Firms - Queensland
Sign Out
A home for legal profession regulation
Hello, Smithy! [nobody.smith@another.law.firm]
Home
Manage Users
My Activity
Firm Activity
Support
Contact Us
About
My Products
1. My Firms Risk Data
2. Compliance Tools
3. Ethics Checks
4. Notifications - ILP
5. Regulatory Data
Legend
Firm Activity
All
Filter: All | Create | Delete | Submit | Update | View
Here is a record of your firm's recent activity.
<- Prev Page
Page 1 of 82
Next Page ->
Date Time User Product Matter Category Q1 Type
15 Dec 09 02:44 PM Nobody Smith CMPL001 2009-2010 Negligence View
15 Dec 09 02:44 PM Nobody Smith CMPL001 2009-2010 Negligence View
15 Dec 09 02:38 PM Nobody Smith CMPL001 2009-2010 Negligence View
15 Dec 09 02:38 PM Nobody Smith CMPL001 2009-2010 Negligence View
15 Dec 09 02:36 PM Nobody Smith CMPL001 2009-2010 Negligence View
15 Dec 09 02:36 PM Nobody Smith CMPL001 2009-2010 Negligence View
15 Dec 09 02:36 PM Nobody Smith CMPL001 2009-2010 Negligence View
15 Dec 09 02:36 PM Nobody Smith CMPL001 2009-2010 Negligence View
15 Dec 09 02:33 PM Nobody Smith CMPL001 2009-2010 Negligence View
15 Dec 09 02:33 PM Nobody Smith CMPL001 2009-2010 Negligence View
<- Prev Page
1 - 10 [of 812]
Next Page ->
1 Question Number - If applicable.
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An initiative of the Queensland Legal Services Commission and Genesys Software Solutions.

Figure 19 – Firm Activity

5 Subscriber Functions [Subscribers Only]

Subscribers have access to some functions specific to their own needs.

5.1 My Subscriptions

My Subscriptions allows a *Subscriber* to access and update their personal details and their list of *Subscribed Products*.

After accessing *My Subscriptions,* a *Subscriber* can click on their own name to edit their subscription details. The following details can be updated by the *Subscriber*:

1. Name – Can be updated for name changes.
2. Username – Can be updated if your email address changes.
3. Salutation – You can change your preferred name.
4. Category + Product – You can change which products you wish to see in the left navigator. This allows you to 'hide' products that are of no use to you.

An example of the *My Subscriptions* page is shown in *Figure 20*.

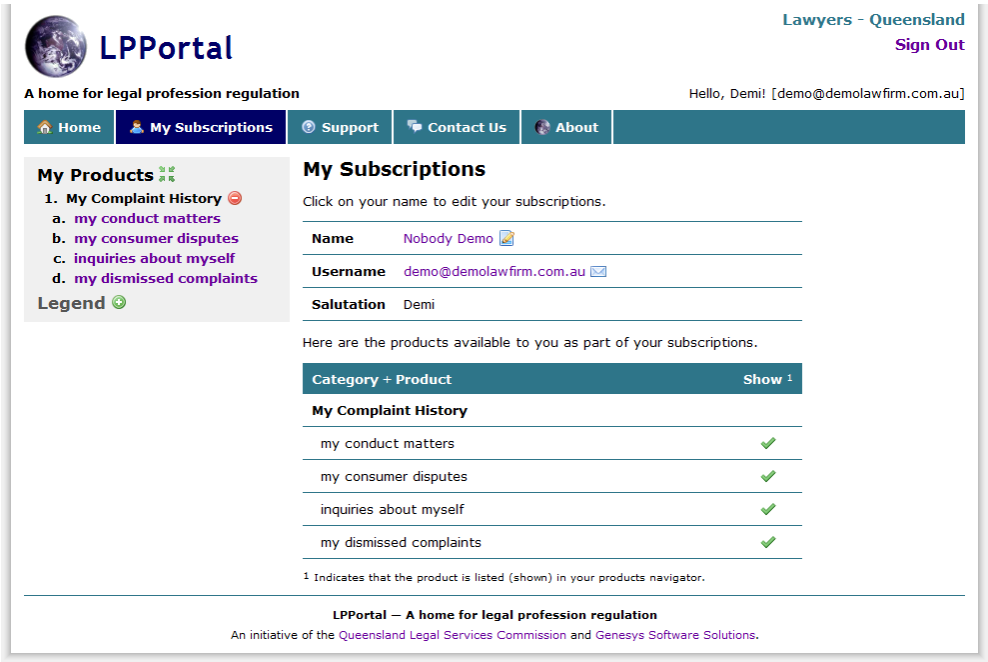


Figure 20 – My Subscriptions

6 Self Assessment Form [ILPs Only]

Note: Currently the *Self Assessment Form* is a product applicable only to *Subscription Managers* or *Authorised Users of* incorporated legal practices (ILPs).

6.1 *New Self Assessment Form*

To get started, you must create a new *Self Assessment Form*. The *Self Assessment Form(s)* for your ILP are available as part of the 'Compliance Tools' product bundle in your list of products (the left navigator).

When you first access the *Self Assessment Form* product, you shouldn't have any existing forms. To begin working, you will need to create a new form. To create a new form, select a *Financial Year* from the drop down menu and click 'Create'.

Once you have created a new *Self Assessment Form*, you will see that a new entry has been inserted into your list of products – corresponding to the financial year chosen. This new entry encapsulates all the *Self Assessment Form* information for that financial year. This includes a number of questions which have been broken up into ten categories – and a certification screen which you use to certify the form on its completion. The *New Self Assessment Form* page is shown in *Figure 21*.

Note: Their can only be one *Self Assessment Form* per financial year.

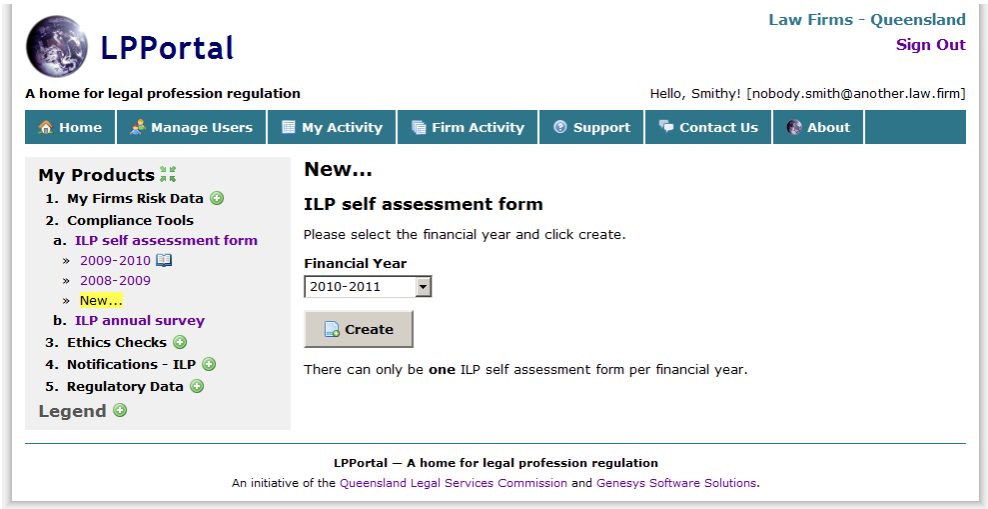


Figure 21 – New Self Assessment Form

6.2 Self Assessment Form Questions

At its most granular level, a *Self Assessment Form* is comprised of a collection of questions. Each question may have mandatory (and optional) sections. All mandatory sections must be completed before submitting the form.

Each question has the following basic structure (shown in bold with an example):

Key concepts to consider when addressing the objective

"Fee earners practise only in areas where they have appropriate competence and expertise"

This is the statement of what is required by you (i.e. this is the question).

Examples of evidence or systems most likely to lead to compliance

"A written statement setting out the types of matters in which the practice will accept instructions and that those instructions will not be accepted in any other types of matters"

This is an example of the types of evidence or systems that you must have in place to meet this requirement at a level that is satisfactory to the regulator.

Arrangements already implemented / Location of evidence

Here you must describe the arrangements you already have in place to meet this objective and where the regulator can look to see evident of those arrangements.

Details of system improvement required by ILP

Here you can outline what improvements you currently have in progress and how they will help you to better meet this objective.

An example of a question is shown in *Figure 22*.

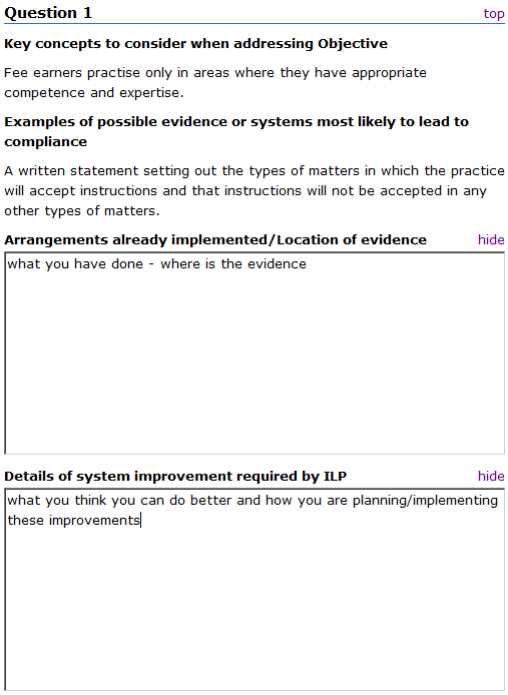

Question 1
top
Key concepts to consider when addressing Objective
Fee earners practise only in areas where they have appropriate competence and expertise.
Examples of possible evidence or systems most likely to lead to compliance
A written statement setting out the types of matters in which the practice will accept instructions and that instructions will not be accepted in any other types of matters.
Arrangements already implemented/Location of evidence
hide
what you have done - where is the evidence
Details of system improvement required by ILP
hide
what you think you can do better and how you are planning/implementing these improvements

Figure 22 – An Example SAF Question

6.3 *Self Assessment Form Categories*

A category is a group of questions. Questions on similar topics are grouped into the

same category (e.g. 'Negligence'). Each category is the lowest level navigation item in the products navigation. Choose a financial year to access that financial year's categories.

The following ten categories exist for the *Self Assessment Form*:

1. Negligence.
2. Communication.
3. Delay.
4. Liens and File Transfers.
5. Cost Disclosure, Billing Practices and Termination of Retainer.
6. Conflicts of Interest.
7. Records Management.
8. Undertakings.
9. Supervision of Practice Staff.
10. Trust Accounts.

For more information on these categories refer to the details provided by LPPortal.

Each category provides an overall 'Objective' and a reference to the section in the Act that is the basis for the category of questions. It also provides quick links to each question – making navigation between questions more straightforward.

An example of a *Self Assessment Form* category is shown in *Figure 23*.

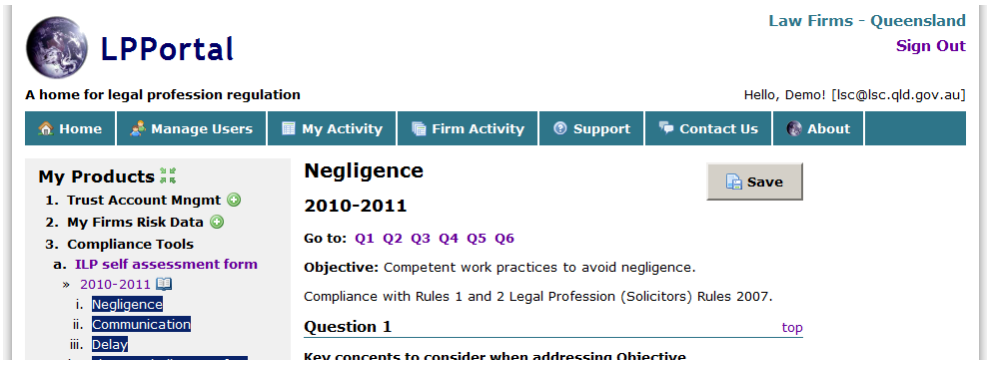


Figure 23 – 'Negligence' [An Example SAF Category]

6.4 *Open Self Assessment Form*

Each *Self Assessment Form* is matter regarding a specific financial year (i.e. there can only be one form per financial year).

Clicking on 'ILP Self Assessment Form' provides general work instructions on how to complete the *Self Assessment Form*.

Clicking on the *Financial Year* presents the certification page which requires a record of the number of days or hours it took your firm to prepare and complete the *Self Assessment Form*.

Note: This must be the sum of the preparation / working time of all involved parties.

Once you are satisfied with the information provided for all questions, in all categories, for the entire form, you can click 'Submit' to submit the form to your regulator.

Note: Once you click 'Submit' you can no longer update the form.

An example of the *Self Assessment Form* certification page is shown in *Figure 24*.

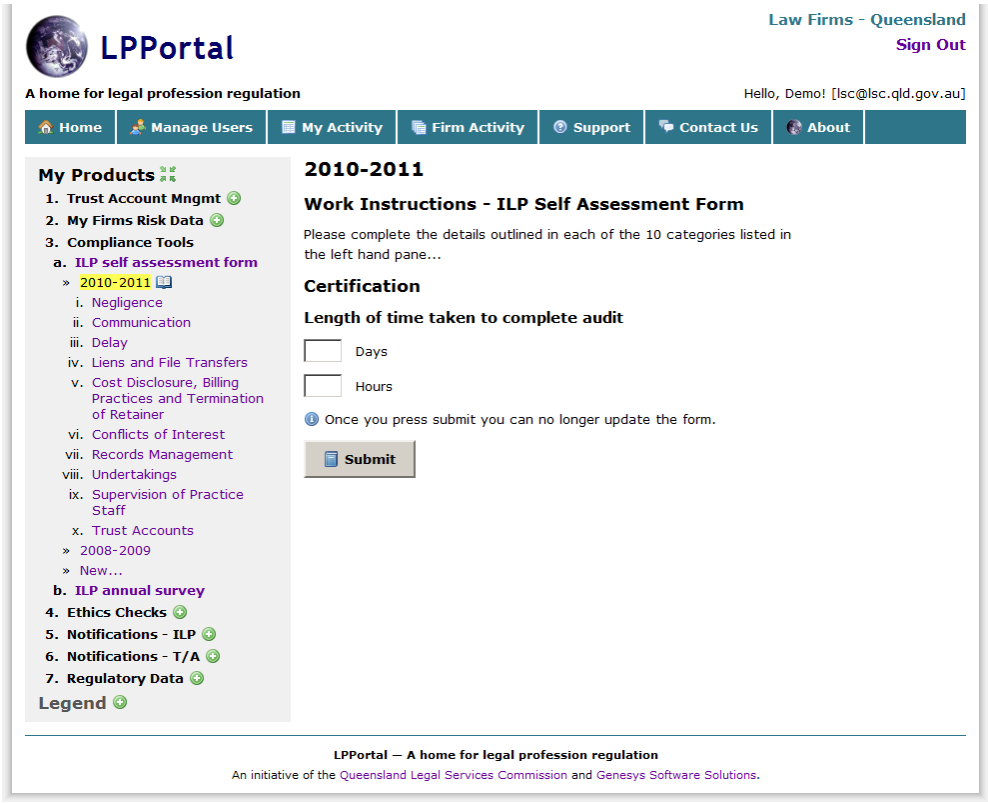


Figure 24 – Self Assessment Form Certification

6.5 *Submitted Self Assessment Form*

Once you have submitted the *Self Assessment Form*, you will be presented with a page that can be used to track the form's status, including receiving feedback from your regulator.

The following information is provided by the *Matter Summary* screen:

1. Feedback from the regulator.

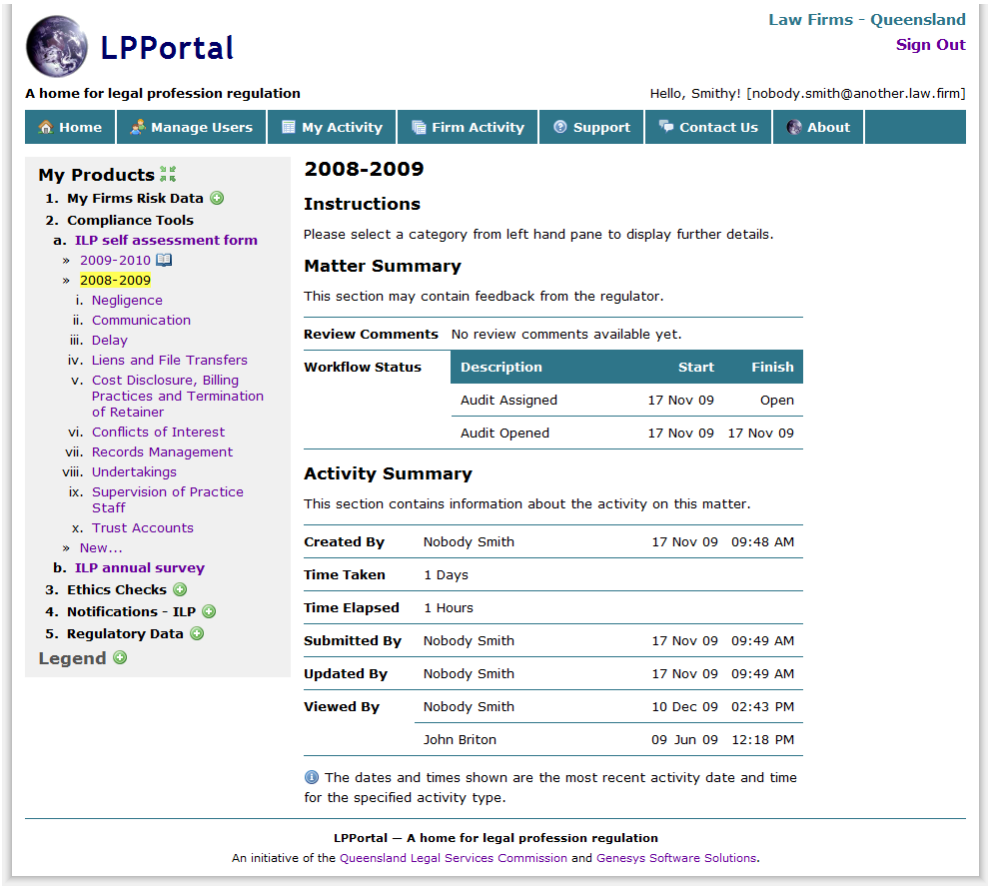
2. Review comments.
3. Workflow status.
4. Activity Summary – including:
    a. Created By – The created by user / date / time for the form.
    b. Time Taken – The number of days / hours reported on submission.
    c. Time Elapsed – The number of days / hours from creation to submission.
    d. Submitted By – The user / date / time the form was submitted.
    e. Updated By – The last date / time the form was updated, for each user.
    f. Viewed By – The last date / time the form was viewed, for each user.

       Note: The dates and times shown are the most recent activity date and time for the specified activity type and the specified user.

An example of a closed *Self Assessment Form* is shown in *Figure 25*.

Note: You can still access the categories and questions once the *Self Assessment Form* has been submitted. This is so you can review your answers at any time in the future.

The *Matter* Summary (closed / submitted *Self Assessment Form*) screen is shown in *Figure 26*.


LPPortal
Law Firms - Queensland
Sign Out
A home for legal profession regulation
Hello, Smithy! [nobody.smith@another.law.firm]
Home
Manage Users
My Activity
Firm Activity
Support
Contact Us
About
My Products
1. My Firms Risk Data
2. Compliance Tools
a. ILP self assessment form
» 2009-2010
» 2008-2009
i. Negligence
ii. Communication
iii. Delay
iv. Liens and File Transfers
v. Cost Disclosure, Billing Practices and Termination of Retainer
vi. Conflicts of Interest
vii. Records Management
viii. Undertakings
ix. Supervision of Practice Staff
x. Trust Accounts
» New...
b. ILP annual survey
3. Ethics Checks
4. Notifications - ILP
5. Regulatory Data
Legend
2008-2009
Instructions
Please select a category from left hand pane to display further details.
Matter Summary
This section may contain feedback from the regulator.
Review Comments No review comments available yet.
Workflow Status
Description Start Finish
Audit Assigned 17 Nov 09 Open
Audit Opened 17 Nov 09 17 Nov 09
Activity Summary
This section contains information about the activity on this matter.
Created By Nobody Smith 17 Nov 09 09:48 AM
Time Taken 1 Days
Time Elapsed 1 Hours
Submitted By Nobody Smith 17 Nov 09 09:49 AM
Updated By Nobody Smith 17 Nov 09 09:49 AM
Viewed By Nobody Smith 10 Dec 09 02:43 PM
John Briton 09 Jun 09 12:18 PM
The dates and times shown are the most recent activity date and time for the specified activity type.
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An initiative of the Queensland Legal Services Commission and Genesys Software Solutions.

Figure 25 – Matter & Activity Summary

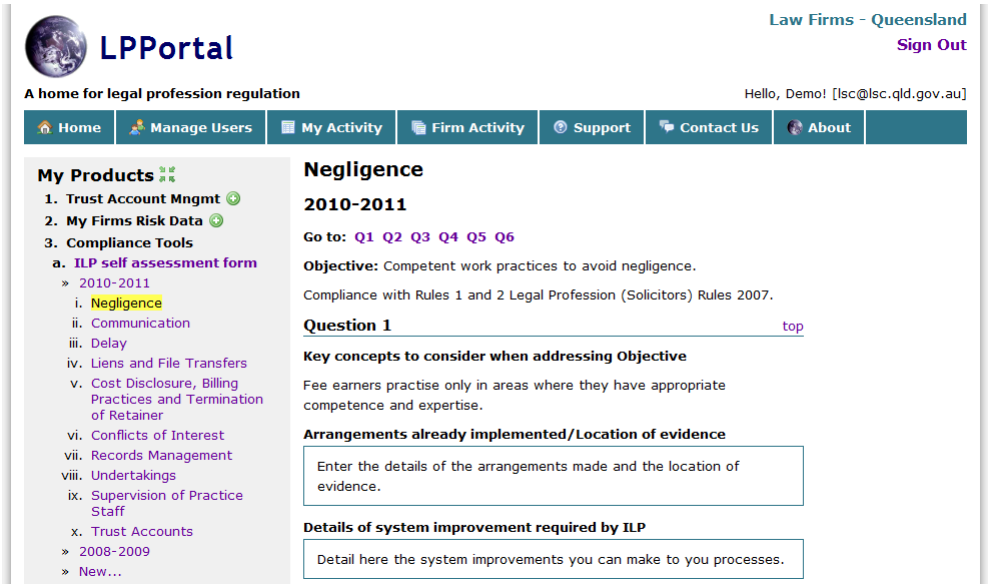

LPPortal
Law Firms - Queensland
Sign Out
A home for legal profession regulation
Hello, Demo! [lsc@lsc.qld.gov.au]
Home
Manage Users
My Activity
Firm Activity
Support
Contact Us
About
My Products
1. Trust Account Mngmt
2. My Firms Risk Data
3. Compliance Tools
a. ILP self assessment form
» 2010-2011
i. Negligence
ii. Communication
iii. Delay
iv. Liens and File Transfers
v. Cost Disclosure, Billing Practices and Termination of Retainer
vi. Conflicts of Interest
vii. Records Management
viii. Undertakings
ix. Supervision of Practice Staff
x. Trust Accounts
» 2008-2009
» New...
Negligence
2010-2011
Go to: Q1 Q2 Q3 Q4 Q5 Q6
Objective: Competent work practices to avoid negligence.
Compliance with Rules 1 and 2 Legal Profession (Solicitors) Rules 2007.
Question 1 top
Key concepts to consider when addressing Objective
Fee earners practise only in areas where they have appropriate competence and expertise.
Arrangements already implemented/Location of evidence
Enter the details of the arrangements made and the location of evidence.
Details of system improvement required by ILP
Detail here the system improvements you can make to you processes.

Figure 26 – Submitted Category & Question

7 Annual Survey [ILPs Only]

Note: Currently the *Annual Survey* is a product applicable only to *Subscription Managers* or *Authorised Users of* incorporated legal practices (ILPs).

7.1 *New Annual Survey*

To get started, you must create a new *Annual Survey*. The *Annual Survey(s)* for your firm are available under the 'Compliance Tools' product bundle in your list of products (the left navigator).

When you first access the *Annual Survey*, you shouldn't have any existing forms. To begin working, you will need to create a new form. To create a new form, select a *Financial Year* from the drop down menu and click 'Create'.

Note: Their can only be one *Annual Survey* per financial year.

The *New Annual Survey* page is shown in *Figure 27*.

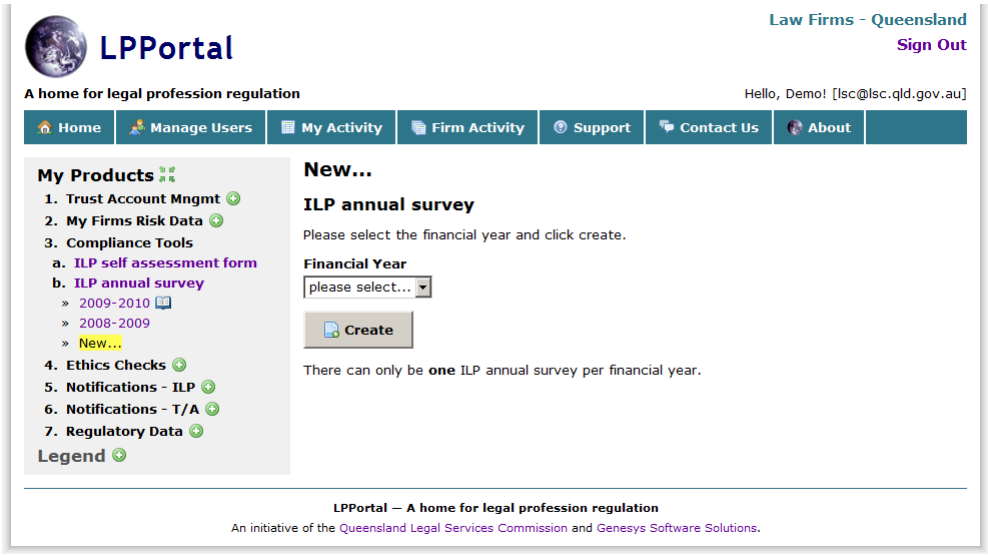


Figure 27 – New Annual Survey

7.2 *Annual Survey Categories*

Choose a financial year to access that financial year's categories.

The following seven categories exist for the *Annual Survey*:

1. Non-Legal Services.
2. Major Areas of Law by Revenue.
3. Gross Fee Income and Staff Numbers.
4. Professional Indemnity Insurance.

5. Company Documents.
6. Non-Legal Directors & Executive Officers.
7. Shareholders.

Each category in the *Annual Survey* is implemented as a custom web form designed for the purpose of entering information specific to the *Annual Survey*.

The following sections outline the specifics of each category (custom web form).

7.3 *Non-Legal Services*

Is the incorporated legal practice providing services other than legal services? If so, please advise the nature of the other business, as shown in *Figure 28*.

Non-Legal Services
2010-2011
Is the incorporated legal practice providing services other than legal services? If so, please advise the nature of the other business[1].
Service
Provided?
Financial Services
Migration Agents
Real Estate
Tax Agents
Save
[1] For example, a tax advisory service, real estate agent, financial services, etc.

Figure 28 – Non-Legal Services

7.4 *Major Areas of Law by Revenue*

Please advise the major areas of law by percentage of revenue in which the law practice offers legal services, as shown in *Figure 29*.

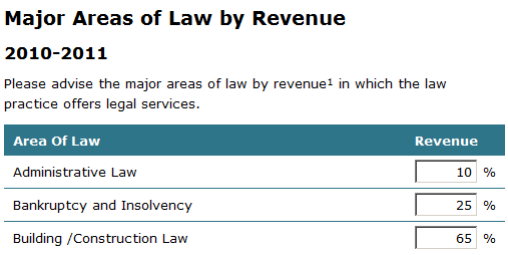


Figure 29 – Major Areas of Law by Revenue

7.5 *Gross Fee Income and Staff Numbers*

Please provide details of gross fee income and staff numbers involved in the provision of legal services, as shown in *Figure 30*.

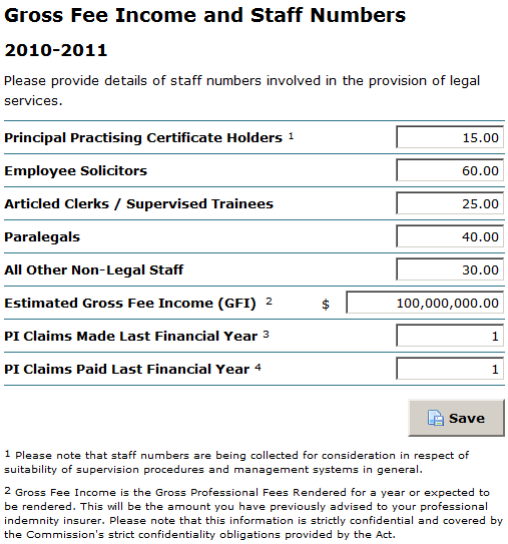

Gross Fee Income and Staff Numbers
2010-2011
Please provide details of staff numbers involved in the provision of legal services.
Principal Practising Certificate Holders 1
15.00
Employee Solicitors
60.00
Articled Clerks / Supervised Trainees
25.00
Paralegals
40.00
All Other Non-Legal Staff
30.00
Estimated Gross Fee Income (GFI) 2
$
100,000,000.00
PI Claims Made Last Financial Year 3
1
PI Claims Paid Last Financial Year 4
1
Save
1 Please note that staff numbers are being collected for consideration in respect of suitability of supervision procedures and management systems in general.
2 Gross Fee Income is the Gross Professional Fees Rendered for a year or expected to be rendered. This will be the amount you have previously advised to your professional indemnity insurer. Please note that this information is strictly confidential and covered by the Commission's strict confidentiality obligations provided by the Act.

Figure 30 – Gross Fee Income and Staff Numbers

7.6 *Professional Indemnity Insurance*

Please provide a copy of the law practice's professional indemnity insurance certificate (png, jpg, gif, tiff or pdf), as shown in *Figure 31*.

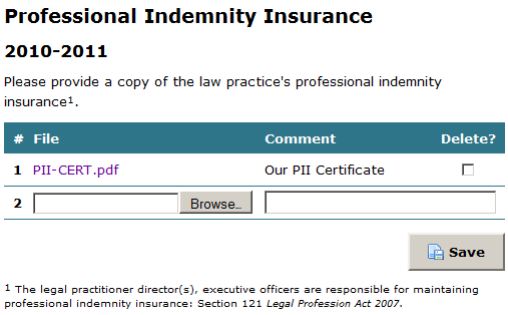


Figure 31 – Professional Indemnity Insurance

7.7 *Company Documents*

Please provide a copy of your Corporations Law memorandum and Articles of Association together with an ASIC current company extract for the ILP (png, jpg, gif, tiff or pdf), as shown in *Figure 32*.

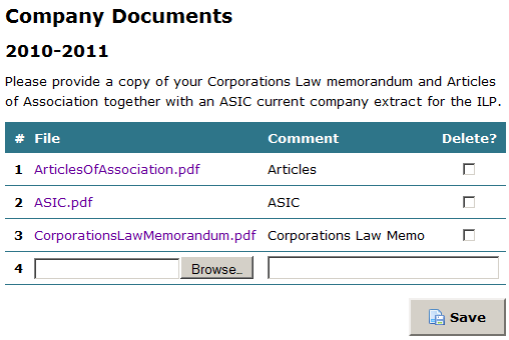


Figure 32 – Company Documents

7.8 Non-Legal Directors & Executive Officers

In order to assess compliance with section 1292 Legal profession Act 2007, please provide details in respect of the non-legal directors and executive officers, as shown in *Figure 33*.

Name
Relationship[3]
Occupation
1 Nobody Green
CEO
Businessman
2 Nobody Jones
Major Shareholder
Executive Officer
3
Save
[1] See Dictionary Schedule 2 Legal Profession Act 2007.
[2] This information will also assist in assessing the risk associated with possible contravention of the Act, Rules and Regulations and, in particular, section 143 (Undue Influence) Legal Profession Act 2007.
[3] For example, is the non-legal director a spouse or a third party who is a business partner or an officer or employee of a related body corporate or business. This information will assist in assessing the risk associated with possible contravention of the Act, Rules and Regulations and, in particular, section 143 (Undue Influence) Legal Profession Act 2007.

Figure 33 – Non-Legal Directors & Executive Officers

7.9 Shareholders

In order to assess compliance with section 1292 Legal Profession Act 2007, please provide the following details in respect of shareholders who are <u>not</u> Australian legal practitioners engaged in the provision of legal services by the law practice, as shown in *Figure 34*.

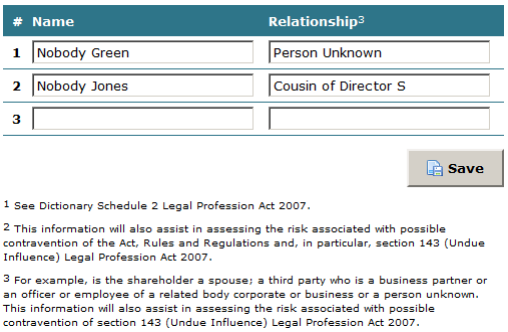

Name
Relationship[3]
1 Nobody Green
Person Unknown
2 Nobody Jones
Cousin of Director S
3
Save
[1] See Dictionary Schedule 2 Legal Profession Act 2007.
[2] This information will also assist in assessing the risk associated with possible contravention of the Act, Rules and Regulations and, in particular, section 143 (Undue Influence) Legal Profession Act 2007.
[3] For example, is the shareholder a spouse; a third party who is a business partner or an officer or employee of a related body corporate or business or a person unknown. This information will also assist in assessing the risk associated with possible contravention of section 143 (Undue Influence) Legal Profession Act 2007.

Figure 34 – Shareholders

7.10 Open Annual Survey

Each *Annual Survey* is matter regarding a specific financial year (i.e. there can only be one form per financial year). Clicking on 'ILP Annual Survey' provides general

work instructions on how to complete it. Clicking on the *Financial* Year shows the certification page which requires a record of the number of days or hours it took your firm to prepare and complete the *Annual Survey*.

Note: This must include the preparation / working time of all involved parties.

Once you are satisfied with the information provided for all questions, in all categories, for the entire form, you can click 'Submit' to submit the form to your regulator.

Note: Once you click 'Submit' you can no longer update the form.

An example of an open *Annual Survey* is shown in *Figure 35*.

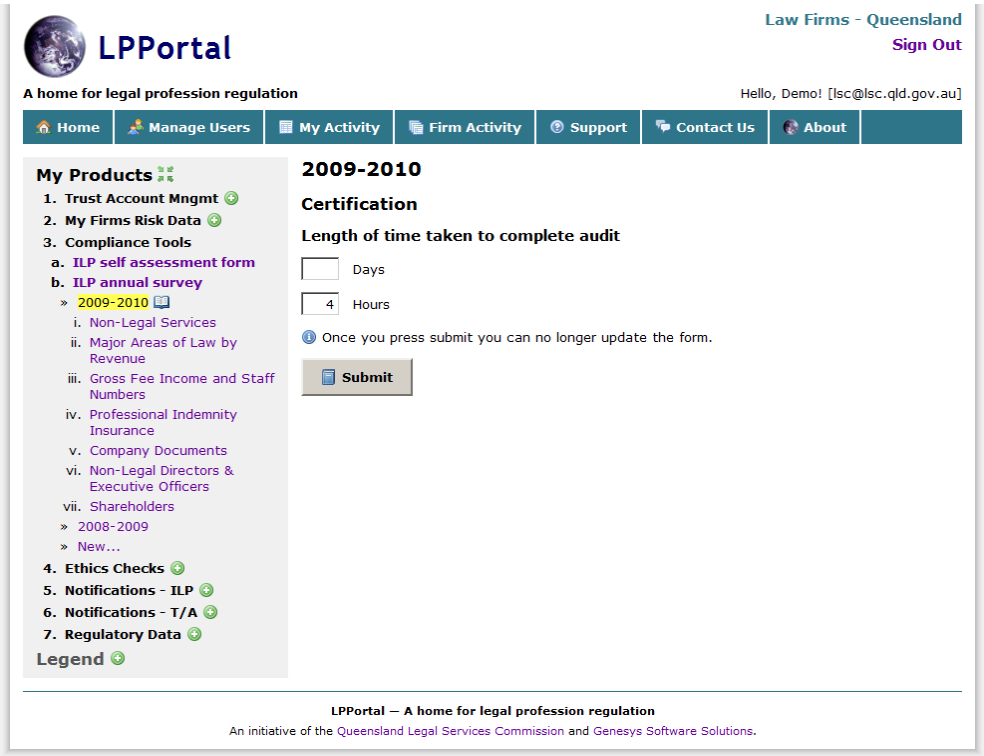


Figure 35 – Annual Survey Certification

7.11 *Submitted Annual Survey*

Once you have submitted the *Annual Survey*, you will be presented with a page that can be used to track the survey's status, including receiving feedback from your regulator. Please refer to *Section 6.5* of this document for more information.

Note: You can still access the categories and custom forms once the *Annual Survey* has been submitted – so you can review your answers at any time in the future.

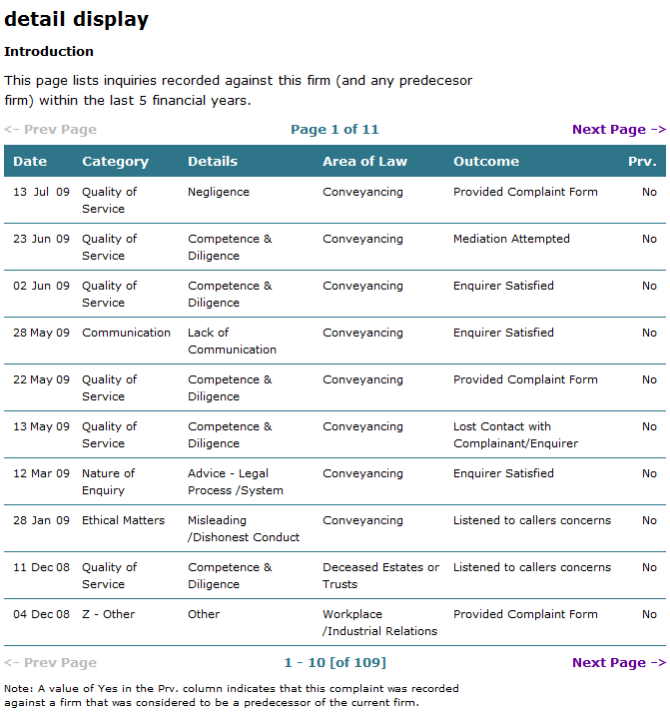
8 Generic Web Forms

Generic Web Forms are a generalised method of accessing either detailed or summarised statistical data from the regulatory database. Some examples of the kinds of data that can be viewed are as follows:

- Conduct Matters
- Consumer Disputes
- Inquiries
- Dismissed Complaints

8.1 Detail Display

A *Detail Display* lets you review 'record by record data' from the regulatory database, page by page, as shown in *Figure 36*.



detail display

Introduction

This page lists inquiries recorded against this firm (and any predecesor firm) within the last 5 financial years.

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Date	Category	Details	Area of Law	Outcome	Prv.
13 Jul 09	Quality of Service	Negligence	Conveyancing	Provided Complaint Form	No
23 Jun 09	Quality of Service	Competence & Diligence	Conveyancing	Mediation Attempted	No
02 Jun 09	Quality of Service	Competence & Diligence	Conveyancing	Enquirer Satisfied	No
28 May 09	Communication	Lack of Communication	Conveyancing	Enquirer Satisfied	No
22 May 09	Quality of Service	Competence & Diligence	Conveyancing	Provided Complaint Form	No
13 May 09	Quality of Service	Competence & Diligence	Conveyancing	Lost Contact with Complainant/Enquirer	No
12 Mar 09	Nature of Enquiry	Advice - Legal Process /System	Conveyancing	Enquirer Satisfied	No
28 Jan 09	Ethical Matters	Misleading /Dishonest Conduct	Conveyancing	Listened to callers concerns	No
11 Dec 08	Quality of Service	Competence & Diligence	Deceased Estates or Trusts	Listened to callers concerns	No
04 Dec 08	Z - Other	Other	Workplace /Industrial Relations	Provided Complaint Form	No

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Note: A value of Yes in the Prv. column indicates that this complaint was recorded against a firm that was considered to be a predecessor of the current firm.

Figure 36 – Detail Display

8.2 Summary Display

A *Summary Display* lets you review 'overall totals and collections of data' from the regulatory database, as shown in *Figure 37*.

summary by area of law

Introduction

This page categorises inquiries received by the commission regarding this firm (and any predecesor firm) within the last 5 financial years by the area of law.

Area of Law	09-10	08-09	07-08	06-07	05-06	Total
Advertising	0	0	0	0	0	0
Conveyancing	1	14	32	39	15	101
Deceased Estates or Trusts	0	1	0	0	0	1
Leases /Mortgages	0	0	1	0	0	1
Property Law	0	0	0	1	1	2
Unknown	0	0	1	1	0	2
Workplace /Industrial Relations	0	1	0	0	0	1
Z - Other	0	0	0	0	1	1
Total	1	16	34	41	17	109

Note: Any highlighted cells on display indicate potential risk alerts for this firm.

Figure 37 – Summary by Area of Law